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### STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: James F. HOWELL et al

Application No./Patent No.: 09/736,707 / 7,212,994 Filed/Issue Date: 12/15/2000 / 05/01/2007

Attorney Docket Number: 089436-2121

Entitled: SYSTEM AND METHODS FOR DISSEMINATING REAL TIME INFORMATION

TD AMERITRADE IP COMPANY, INC. CORPORATION  
 (Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest;
2. ☐ an assignee of less than the entire right, title, and interest  
(The extent (by percentage) of its ownership interest is %); or
3. ☐ the assignee of an undivided interest in the entirety of (a complete assignment from one of the joint inventors was made)

in the patent application/patent identified above by virtue of either:

- A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel/Frame \_\_\_\_\_ or for which a copy thereof is attached.

OR

- B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:


1. From: HOWELL, JAMES F. et al To: TRADECAST SECURITIES, LTD.  
The document was recorded in the United States Patent and Trademark Office at Reel 011371, Frame 0881, or for which a copy thereof is attached.
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☐ Additional documents in the chain of title are listed on a supplemental sheet.

- ☐ As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.

**[NOTE:** A separate copy (i.e., a true copy of the original document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

 6/20/2012  
 Signature Date

Matthew E. Martin (53,274) (312) 832-4559  
 Printed or Typed Name Telephone Number

Attorney for Applicant  
 Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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